

09/787603

*patent application serial no.*

*Department of Commerce  
Patent and Trademark Office  
for record*

---

03/23/2001 MNGUYEN 00000131 09787603

01 FC:960	1000.00	OP
02 FC:966	198.00	OP
03 FC:964	80.00	OP
04 FC:968	270.00	OP

BOX PCT

"Express Mail" mailing label number EL599431254US

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE  
(DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER CASM117201		
U.S. APPLICATION NO. (if known see 37 C.F.R. 1.5) <b>09/787603</b>		
INTERNATIONAL APPLICATION NO. PCT/AU99/00830	INTERNATIONAL FILING DATE 28 September 1999	PRIORITY DATE CLAIMED 29 September 1998
TITLE OF INVENTION SECURITY DOCUMENT INCLUDING A NANOPARTICLE-BASED AUTHENTICATION DEVICE		
APPLICANT(S) FOR DO/EO/US Paul ZIENTEK and Gerard Joseph WILSON		

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information by **Express Mail**:

- XXX 1. This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
- \_\_\_\_\_ 2. This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 37 U.S.C. 371.
- XXX 3. This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
- XXX 4. The U.S. has been elected by the expiration of 19 months from the priority date (PCT Article 31).
- XXX 5. A copy of the International Application as filed (35 U.S.C. 371(c)(2))
- \_\_\_\_\_ a. is attached hereto (required only if not communicated by the International Bureau).
- XXX b. has been communicated by the International Bureau.
- \_\_\_\_\_ c. is not required, as the application was filed in the United States Receiving Office (RO/US).
- \_\_\_\_\_ 6. An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).

LAW OFFICES OF  
CHRISTENSEN O'CONNOR  
JOHNSON KINDNESS<sup>PI,LLC</sup>  
1420 Fifth Avenue  
Suite 2800  
Seattle, Washington 98101  
(206) 682-8100

JC10 Rec'd PCT/PTO 20 MAR 2001

XXX

7. Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))

XXX

- a. are attached hereto (required only if not communicated by the International Bureau):

(i) Response dated 25 August 2000.

- b. have been communicated by the International Bureau.

- c. have not been made; however, the time limit for making such amendments has NOT expired.

- d. have not been made and will not be made.

8. An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).

9. An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).

10. An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11. to 20. below concern document(s) or information included:**

11. An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.

12. An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.

XXX

13. A FIRST preliminary amendment.

14. A SECOND or SUBSEQUENT preliminary amendment.

15. A substitute specification.

16. A change of power of attorney and/or address letter.

17. A computer-readable form of the sequence listing in accordance with 35 U.S.C. 1.821 – 1.825.

18. A second copy of the published international application under 35 U.S.C. 154(d)(4).

19. A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).

20. Other items or information.

09/78/603

XXX 21. The following fees are submitted:.

**CALCULATIONS**  
PTO USE ONLY

**BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5):**

Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$1,000

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO.... \$860

International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....\$710

International preliminary examination fee paid to USPTO (37 CFR 1.482) but all claims did not satisfy provisions of PCT Article 33(1)-(4)..... \$690

International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100

**ENTER APPROPRIATE BASIC FEE AMOUNT =** \$1,000

Surcharge of \$130 for furnishing the oath or declaration later than 20 30 months from the earliest claimed priority date (37 CFR 1.492(e)).

\$---

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	31 - 20 =	11	X \$18	\$ 198	
Independent claims	4 - 3 =	1	X \$80	\$ 80	
MULTIPLE DEPENDENT CLAIMS(S) (if applicable)			+ \$270	\$ 270	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$1,548	
Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$---	
<b>SUBTOTAL =</b>				\$1,548	
Processing fee of \$130 for furnishing the English translation later than 20 30 months from the earliest claimed priority date (37 CFR 1.492(f)). +				\$---	
<b>TOTAL NATIONAL FEE =</b>				\$1,548	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$---	
<b>TOTAL FEES ENCLOSED =</b>				\$1,548	
			Amount to be:	\$	
			refunded		
			charged	\$	

LAW OFFICES OF  
CHRISTENSEN O'CONNOR  
JOHNSON KINDNESS<sup>PLLC</sup>  
1420 Fifth Avenue  
Suite 2800  
Seattle, Washington 98101  
(206) 682-8100

09/787603

0 Rec'd PCT/PTO 2 0 MAR 2001

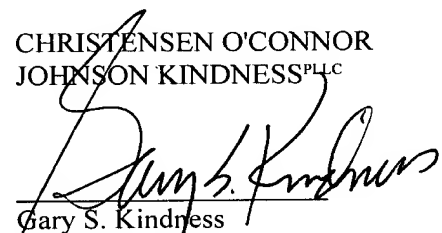
- XXX a. A check in the amount of \$ 1,548 to cover the above fees is enclosed. Check No. 126426.
- b. Please charge my Deposit Account No.            in the amount of \$        to cover the above fees. A duplicate copy of this sheet is enclosed.
- XXX c. The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 03-1740. A duplicate copy of this sheet is enclosed.

SEND ALL CORRESPONDENCE TO:

Gary S. Kindness, Esq.  
CHRISTENSEN O'CONNOR JOHNSON KINDNESS<sup>PLLC</sup>  
1420 Fifth Avenue  
Suite 2800  
Seattle, WA 98101

Respectfully submitted,

CHRISTENSEN O'CONNOR  
JOHNSON KINDNESS<sup>PLLC</sup>

  
Gary S. Kindness  
Registration No. 22,178  
Direct Dial (206) 695-1702

**EXPRESS MAIL CERTIFICATE**

"Express Mail" mailing label number EL599431354US  
Date of Deposit March 20, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Rebekah Elliott  
(Typed or printed name of person mailing paper or fee)  
Rebekah Elliott  
(Signature of person mailing paper or fee)

GSK/PAS

LAW OFFICES OF  
CHRISTENSEN O'CONNOR  
JOHNSON KINDNESS<sup>PLLC</sup>  
1420 Fifth Avenue  
Suite 2800  
Seattle, Washington 98101  
(206) 682-8100